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### United States Patent and Trademark Office

UNITED STATES DEPARTMENT OF COMMERCE United States Patent and Trademark Office Address COMMISSIONER FOR PATENTS P.O. Box 1450 Alexandria, Virginia 22313-1450 www.uspto.gov

U.S. APPLICATION NUMBER NO.

FIRST NAMED APPLICANT

ATTY. DOCKET NO.

10/551,392

Markus Stoffel

11937/US/2

INTERNATIONAL APPLICATION NO.

PCT/US04/09954

I.A. FILING DATE

PRIORITY DATE

03/31/2004

03/31/2003

**CONFIRMATION NO. 3339 371 FORMALITIES LETTER** 

\*OC000000018441412\*

INTELLECTUAL PROPERTY DEPARTMENT 250 PARK AVENUE NEW YORK, NY 10177

DORSEY & WHITNEY LLP

Date Mailed: 04/04/2006

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Indication of Small Entity Status
- Copy of the International Application filed on 09/29/2005
- Copy of the International Search Report filed on 09/29/2005
- Copy of IPE Report filed on 09/29/2005
- Information Disclosure Statements filed on 02/10/2006
- Small Entity Statement filed on 09/29/2005
- Request for Immediate Examination filed on 09/29/2005
- U.S. Basic National Fees filed on 09/29/2005
- Priority Documents filed on 09/29/2005
- Specification filed on 09/29/2005
- Claims filed on 09/29/2005
- Abstracts filed on 09/29/2005
- Drawings filed on 09/29/2005

The applicant needs to satisfy supplemental fees problems indicated below.

The following items MUST be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

#### SUMMARY OF FEES DUE:

Total additional fees required for this application is \$65 for a Small Entity:

- \$65 Surcharge.
  - This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 CFR 1.821(c) Applicant must provide an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment specifically directing its entry into the application and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).
  - A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.

For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:

- For Rules Interpretation, call (571) 272-0951
- For Patentin Software Program Help, call Patent EBC at 1-866-217-9197 or directly at 703-305-3028 / 703-308-6845 between the hours of 6 a.m. and 12 midnight, Monday through Friday, EST.
- Send e-mail correspondence for Patentin Software Program Help @ ebc@uspto.gov

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

A copy of this notice **MUST** be returned with the response.

BARBARA A CAMPBELL

Telephone: (703) 308-9140 EXT 217

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.

10/551,392

PCT/US04/09954

11937/US/2

FORM PCT/DO/EO/905 (371 Formalities Notice)

## IAP7 Rec'd PCT/PTO 05 SEP 2006

Docket: 11937/US/2

### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named

Inventor:

Markus Stoffel

Appln. No.:

10/551,392

U.S. Filing Date:

September 29, 2005

PCT Serial No.

PCT/US2004/09954

International Filng

31 March 2004

Date

(31.03.2004)

METHODS OF INHIBITING

ADIPOGENESIS AND FOR

Title:

TREATING TYPE 2 DIABETES

Examiner:

Unknown

Group Art

Unit:

Unknown

# RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. § 371 IN THE US DESIGNATED/ELECTED OFFICE (DO/EO/US)

### MAIL STOP PCT

Commissioner for Patents

P. O. Box 1450

Alexandria, VA 22313-1450

Express Mailing Number: EV-808022746 US

Date of Deposit: September 5, 2006

I hereby certify that this document is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA

22313-1450.

(Name) (

(Signature)

Sir:

In response to the Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US), date mailed April 4, 2006, the following documents are enclosed:

- 1. Required copy of the Notification of Missing Requirements (3 pgs);
- 2. Change of Correspondence Address (1 pg);
- 3. Fee Transmittal Sheet (1 pg.);
- 4. Petition for Extension of Period of Response (2 pgs);
- 5. Check in the amount of \$510.00 for Extension of Time fee;
- 6. Executed Declaration and Power of Attorney (3 pgs);
- 7. Paper copy of Sequence Listing (5 pgs);

09/08/2006 GFREY1

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01 FC:2253

510.00 OP

- 8. Disk containing Sequence listing; and
- 9. Return Receipt Postcard.

Respectfully submitted,

DORSEY & WHITNEY LLP Customer Number 25763

Date:

By:

Scott D. Rothenberger, Reg. No. 41,277

(612) 340-8819

1 4 .						
FEE TRANSMITTAL SHEET (FY 2006)			Complete i	f Known		
		Application No. 10/5		10/551,392		
		Filing Date Septer		otember 29, 2005		
		First Inventor Markus S		offel		
		Group Art Unit Unknown				
		Examiner Name Unknown				
Applicant claims small entity status (see 37 C.F.R. 1.27)		ket Numb			· · · · · · · · · · · · · · · · · · ·	
METHOD OF PAYMENT (Check One)		FEE CALCULATION (Continued)				
☐ Check ☐ Credit Card ☐ Money Order		3. ADDITIONAL FEES				
Deposit Account No.: 04-1420		Small				
Deposit Account Name: DORSEY & WHITNEY LLP		Entity Fee	Fee Description		Fee paid	
For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)	Fee	100				
Charge any additional fees or underpayments of fee(s) under		25	Surcharge - late provisional filing fee or cover sheet			
37 C.F.R. 1.16 and 1.17  Credit any overpayments		65	Surcharge – Late nonprovisional filing fee or oath			
Other (please identify):		180	Submission of IDS			
Extra Claim Fees		40	Recording each patent assignment per			
Current Claims Prior Extra Fee Fee Paid	40 120	60	property (times nu Extension for reply	mber of properties)		
Total 20 = x  \$ = \$ = \$	450	225		within second month		
Multiple Dependent Claims x \$ = \$	1,020	510	• •	within third month	\$510.00	
Total (Extra Claims)\$	1,590	795		within fourth month	ψ510.00	
Petition Fee Under 37 CFR 1.17(f), (g), & (h)		1,080	Extension for reply			
Enclosed is a Petition filed under 37 CFR as indicated below:	2,160 790	395	Submission After f			
Petition Fee under 37 CFR 1.17(f)  § 1.53(e) to accord a filing date. § 1.57(a) to accord a filing date. § 1.182 for decision on a question not provided for. § 1.183 to suspend the rules. § 1.378(e) for reconsideration of decision on petition refusing delayed payment of maintenance fee in expired patent. § 1.174(b) to accord a filing date to an application under §1.740 for extension of patent term.  Petition Fee under 37 CFR 1.17(g) § 1.12 for access to an assignment record.		250	Notice of Appeal	IIIdi 1.125		
		250	• •	ling a brief in support of an appeal		
		500	Request for oral hearing			
		65	Terminal Disclaimer Fee			
		700				
		400	Utility & Reissue Issue Fee			
			Design Issue Fee Request for Continued Examination			
§ 1.14 for access to an application. § 1.47 for filing by other than all inventors or person not the inventor.	790	395	(RCE)			
§ 1.59 for expungement of information. § 1.103(a) to suspend action in an application. § 1.136(b) for review of a request for ext. of time when §1.136(a) not avail. § 1.295 for review of refusal to publish a statutory invention registration. § 1.296 to withdraw a req. for pub. after notice of intent to publish issued. § 1.377 for review of decision refusing to accept a maintenance fee filed prior to expiration of a patent. § 1.550(c) for request for ext. of time in ex parte reexam. proceedings. § 1.956 for request for ext. of time in ex parte reexam. proceedings. § 5.12 for expedited handling of foreign filing license.			Request for voluntary publication or republication			
		250	Petition to Revive	Petition to Revive – unavoidable		
		750	Petition to Revive	<ul><li>unintentional</li></ul>		
			Filing for patent te	Filing for patent term adjustment		
			Request for reinstatement of term reduced Extension of term of patent			
§ 5.15 for changing the scope of a license. § 1.5.25 for retroactive license.	OTHER FEE					
Petition Fee under 37 CFR 1.17(h) Fee \$130		,				
§ 1.19(g) to request documents in a form other than provided in this part. § 1.84 for accepting color drawings or photographs.		Subtotal (Additional Fees) \$510.00				
§ 1.91 for entry of a model or exhibit. § 1.102(d) to make an application special.						
§ 1.138(c) to expressly abandon an application to avoid publication. § 1.313 to withdraw an application from issue.		Total Amount of Payment: \$510.00				
§ 1.314 to defer issuance of a patent.	İ			<del>.</del>		
Submitted by:	1					
CUSTOMER NUMBER DORSEY & WHITNEY LLP 25763						
Name: Scott D. Rothenberger		ne No.: (6	312) 340-8819	Fax No.: (612) 340	-8856	
Sign A. Al				Date: September		
Signature:	Ivea	Date. September 3, 2000		-,		